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**UNITED STATES PATENT AND TRADEMARK OFFICE**  
**Attorney Docket No. 12640US01**

In the Application of:

**ROBERT CAREY, et al.**

Serial No.: 09/480,724

Filed: January 7, 2000

For: **METHOD OF SELECTING  
SECURITIES FOR A  
PORTFOLIO**



**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, D.C. 20231 on MAR 5, 2001.

By:

Ronald E. Larson  
Ronald E. Larson  
Reg. No. 24,478

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**TRANSMITTAL OF  
SECOND SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT  
AFTER APPLICATION FILING DATE**

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

**ENCLOSURES**

Enclosed are the following:

A completed PTO form 1449 (modified) which has 1 page.

A copy of each printed or patented reference listed in the enclosed form 1449 and not previously provided to or by the PTO in this application. One reference is enclosed.

A Second Supplemental Information Disclosure Statement describing the reference listed in the enclosed form 1449.

## **FEE DETERMINATION**

No fee is believed to be due because this statement and enclosures are being filed prior to receipt of the first Official Action reflecting an examination on the merits.

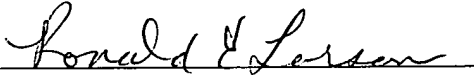
The Commissioner is hereby authorized to charge any additional fees which are presently required, or credit any overpayment, to Deposit Account No. 13-0017. A duplicate copy of this document is enclosed.

## **REQUEST FOR CONSIDERATION**

This paper and enclosures are believed to be entitled to consideration under 37 C.F.R. § 1.97, based on the facts stated above. The Examiner is required to initial both copies of the enclosed PTO-1449 (modified) and return one copy to the applicant(s) to indicate consideration of the enclosed references.

Respectfully submitted,

March 5, 2001  
DATE

  
\_\_\_\_\_  
Ronald E. Larson  
Reg. No. 24,478  
Attorney for Applicant(s)

McAndrews, Held & Malloy, Ltd.  
500 West Madison Street, 34<sup>th</sup> Floor  
Chicago, IL 60661  
(312) 775-8000 (phone)  
(312) 775-8100 (fax)

UNITED STATES PATENT AND TRADEMARK OFFICE  
Attorney Docket No. 12672US01

In the Application of:

**ROBERT CAREY, et al.**

Serial No.: 09/480,724

Filed: January 7, 2000

For: **METHOD OF SELECTING  
SECURITIES FOR A  
PORTFOLIO**



**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, D.C. 20231 on MAR 5, 2001.

By: Ronald E. Larson  
Ronald E. Larson  
Reg. No. 24,478

**SECOND SUPPLEMENTAL  
INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Washington DC 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.56, it is respectfully requested that the following reference be considered in the examination of the above-identified patent application:

US PATENT NO.	NAME	DATE
6,161,099	Harrington et al.	12/12/00

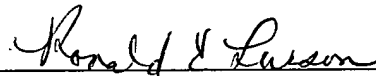
The above-identified reference is listed on the attached PTO Form '1449, and a copy is also enclosed herewith.

This submission is in no way intended as an admission that the above-cited reference constitutes prior art under any subsection of 35 U.S.C. § 102. Applicant

expressly retains the right to take any actions necessary to remove the above-cited reference from the available prior art.

This Second Supplemental Information Disclosure Statement is being filed prior to the receipt of the first Official Action reflecting an examination on the merits and hence is believed to be timely filed in accordance with 37 C.F.R. § 1.97(b). No fees are believed to be due in connection with filing of this First Supplemental Information Disclosure Statement, however, should any fees under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to these materials, the Commissioner is hereby authorized to deduct said fees from Account No. 13-0017.

Respectfully submitted,



Ronald E. Larson  
Registration No. 24,478  
Attorney for Applicant

Date: MAR 5, 2001  
MCANDREWS, HELD & MALLOY, LTD.  
500 W. Madison, 34th Floor  
Chicago, IL 60661  
Telephone: (312) 775-8000  
Facsimile: (312) 775-8100